

Securities Examiner-Enforcement Bureau

Under the general supervision of the Supervising Attorney in the Enforcement Bureau, this Securities Examiner position works to investigate possible violations of the Securities and Franchise laws and prepare investigation results for use in administrative, civil or criminal litigation.

25% A. Determine possible violations indicated by complaint or concern and plan investigation of alleged violations of the Wisconsin Uniform Securities Law and Wisconsin Franchise Investment Law.

- A1. Consult on any jurisdictional issues with staff attorneys, and with the Bureau of Professional Registration & Compliance when needed.
- A2. Perform preliminary background check, including Google, CCAP, CRD, Pacer, and Accurint, and determine appropriate investigative methods for case, consulting with staff attorneys.
- A3. Determine required elements of the possible violations with the assistance of the staff attorneys.
- A4. Determine case priority according to the Enforcement Manual and estimate the scope and ongoing nature of the violation.
- A5. Contact other state or federal agencies to discuss common respondents and share information on victims in other states, sharing information as needed.
- A6. Contact OCI in cases involving licensed insurance agents and share information as needed.

30% B. Conduct thorough interviews of all important witnesses.

- B1. Determine scope/order of witnesses to be interviewed and schedule them.
- B2. Determine evidence needed and documents to be subpoenaed.
- B3. Draft subpoenas for staff attorney to review.
- B4. Thoroughly interview witnesses and alleged subjects of an investigation.
- B5. Write reports of interviews when appropriate.
- B6. Evaluate inquiries and referrals to determine the necessity of further investigation.
- B7. Follow up on any additional leads.

25% C. Conduct complex financial analyses of the source and use of funds.

- C1. Enter information received from subpoenas and witnesses into spreadsheets for analysis.
- C2. Review and organize evidence obtained from subpoenas and witnesses.
- C3. Summarize, analyze and arrange documents, witness interviews, audit reports and other evidence to determine the extent of violation.
- C4. Compile comprehensive list of investors, determine the amount of net losses, and other calculations.

- C5. Follow up on any missing evidence, additional accounts, and other necessary items for the financial analysis.

15% D. Assist with all aspects of administrative and judicial proceedings.

- D1. Discuss in depth all evidentiary and factual matters and concerns with staff attorneys.
D2. Draft thorough enforcement recommendation including analysis and evidentiary exhibits for staff attorneys.
D3. Create demonstrative evidence exhibits for staff attorneys or prosecutors.
D4. Serve as point of contact with testimonial witnesses.
D5. Organize all exhibits for hearing under the direction of the staff attorney or prosecutor, as needed.
D6. Provide assistance required by staff attorneys or prosecutors at all stages of administrative and judicial proceedings.
D7. Testify as needed at administrative and judicial proceedings.

5% E. Other.

- E1. Assist with special projects and reports, as directed by Attorney Supervisor or Administrator.
E2. Contact other agencies to secure information and discuss matters of mutual concern.
E3. Consult and coordinate with other state and federal securities offices and with law enforcement agencies.
E4. Represent the Division at meetings, conferences, workshops, etc., as directed by Supervising Attorney.
E5. Respond to electronic, written and oral inquiries.

Required Knowledge, Skills and Abilities

- Investigative practices and techniques
- Ability to exercise sound judgment in applying division policies and procedures.
- Ability to establish and maintain effective working relationships with coworkers, industry officials, other regulatory officials and the general public.
- Superior ability to speak and write correctly and effectively.
- Superior interpersonal communication skills.
- Ability to use Excel and Word effectively.
- Dedicated work ethic and integrity
- Compelling natural curiosity
- Professional behaviors and judgments.
- Knowledge of accounting principles and practices.
- Valid Wisconsin (or state of residence) driver's license